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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 3

Complete if Known

Application Number	
Filing Date	
First Named Inventor	FULLER
Art Unit	
Examiner Name	
Attorney Docket Number	DF01-001

12/31/01

U.S. PATENT DOCUMENTS

Examiner Initials'	Cite No. 1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
JZ		US- 6,272,483	8/7/2001	Joslin, Clements	
JZ		US- 6,269,339	7/31/2001	Silver	
JZ		US- 6,223,164	5/24/2001	Seare et al.	
JZ		US- 6,088,510	7/1/2000	Sims	
JZ		US- 5,999,893	12/7/1999	Lynch et al.	
JZ		US- 6,026,397	2/15/2000	Sheppard	
JZ		US- 6,272,478	8/7/2001	Obata et al.	
JZ		US- 6,212,526	4/3/2001	Chaudhuri et al.	
JZ		US- 6,125,362	9/26/2000	Elworthy	
JZ		US- 5,787,420	7/28/2001	Tukey	
JZ		US- 5,712,984	1/27/1998	Hammond et al.	
JZ		US- 6,029,138	2/22/2000	Khorasami et al.	
JZ		US- 6,202,053	3/13/2001	Christiansen et al.	
JZ		US- 6,266,656	7/24/2001	Ohno	
JZ		US- 6,182,070	1/30/2001	Megiddo et al.	
JZ		US- 5,187,673	2/16/1993	Carver Jr. et al.	
JZ		US- 5,790,758	8/4/1998	Streit	
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

2 of 3

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Application Number

Filing Date

First Named Inventor

FULLER

Group Art Unit

Examiner Name

Attorney Docket Number

USPTO
12/31/01
C932 USPTO 12/31/01
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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher city and/or country where published	T ²
JZ	1.	Anderberg, Michael, <u>Cluster Analysis for Applications</u> , Academic Press, New York, 1973.	
JZ	2.	Bock, HH, <u>Classification and Related Methods of Data Analysis</u> , Elsevier Science Publishers, North Holland, 1988	
JZ	3.	Celeux, Gilles and Soromenho, Gilda, "An Entropy Criterion for Assessing the Number of Clusters in a Mixture Model," <i>Journal of Classification</i> , 13, 195-212, 1996	
JZ	4.	Fowles JB et al, "Taking health status into account when setting capitation rates: a comparison of risk-adjustment methods," <i>JAMA</i> 276(16): 1316-21, 1996.	
JZ	5.	Hornbrook, Mark C & Goodman Michael J., "Assessing Relative Health Plan Risk with the Rand 36 Health Survey," <i>Inquiry</i> , 32:1, 56-74, 1995.	
JZ	6.	Hornbrook, Mark C & Goodman Michael J., "Chronic Disease, Functional Health Status, and Demographics: A Multi-Dimensional Approach to Risk Adjustment," <i>Health Services Research</i> , 31:3, 283-307, 1996.	
JZ	7.	Lamers, LM & van Vliet RC, "Multiyear diagnostic information from prior hospitalization as a risk-adjuster for capitation payments," <i>Medical Care</i> , 34:4 549-561, 1996.	
JZ	8.	Lorr, Maurice, <u>Cluster Analysis for Social Scientists</u> , Jossey-Bass Publishers, San Francisco, 1983.	
JZ	9.	Matthews, Geoffrey & Hearne, James, "Clustering Without a Metric," <i>IEEE Transactions on Pattern Analysis and Machine Intelligence</i> , V13N2, p175-184, 1991.	
JZ	10.	Soromenho, Gilda, "Comparing Approaches for Testing the Number of Components in a Finite Mixture Model," <i>Computational Statistics</i> , 9, 65-78, 1994.	
JZ	11.	Nord, Erik, "Health Status Index Models for use in Resource Allocation Decisions," <i>International Journal of Technology Assessment in Health Care</i> , 12:1, 1996.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheep

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1

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Application Number

Filing Date

First Named Inventor

Group Art Unit

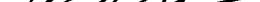
Examiner Name

Attorney Docket Number DF01-001

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